



PATENT
245001-2000.2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Gary Katz and Greg Maynard
Serial No.: 10/771,993
Filed: February 3, 2004
For: AUTOMATED EXCHANGE FOR TRADING OF
COMPLEX ORDERS
Art Unit: 3622

745 Fifth Avenue
New York, NY 10151

FIRST CLASS MAIL CERTIFICATE

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on February 1, 2006.

Stephen J. Lieb, Reg. No. 41,943

Name of Applicant, Assignee or Registered Representative

Stephen J. Lieb
Signature

February 2, 2006
Date of Signature

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. 1.97 (b)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In compliance with the duty of disclosure set forth in 37 C.F.R. 1.56, applicants are filing this Information Disclosure Statement and the accompanying form PTO-1449. Such prior art has recently come to the attention of applicants. So far as applicants are aware, this Information Disclosure Statement is being filed before the mailing date of the first Office Action on the merits.

The filing of this Information Disclosure Statement is not an admission that the documents identified herein constitute prior art to the present application.

Please charge any fees incurred by the filing of this document or credit any overpayment to Deposit Account No. 50-0320.

Respectfully submitted,

FROMMER LAWRENCE & HAUG LLP
Attorneys for Applicants

By: 

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Based on Form PTO-1449
(3/90)LIST OF REFERENCES CITED BY APPLICANT
(Use several sheets if necessary)

ATTY. DOCKET NO.

245001-2000.2

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APPLICANT

Gary Katz and Greg Maynard

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GROUP

3622

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6,405,180	06-2002	Tilfors, et al.	705/37		
	AB	5,845,266	12-1998	Lupien, et al.	705/37		
	AC	5,101,353	03-1992	Lupien, et al.	705/37		
	AD	6,456,982	09-2002	Pillipovic, Dragana N.	705/36		
	AE	6,671,818	12-2003	Mikurak, Michael G.	714/4		
	AF	6,014,627	01-2000	Togher, et al.	705/1		
	AG	2002/0133454	09-2002	Mslitzis, et al.	705/37		
	AH	2002/0010673	01-2002	Muller, et al.	705/37		
	AI	2003/0046218	03-2003	Albancso, et al.	705/37		
	AJ	6,377,940	04-2002	Tilfors, et al.	705/37		

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AL							

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AM	Estimating the Components of the Bid/Ask Spread; Glosten and Harris; Journal of Financial Economics; May, 1988
	AN	Why Market Maker Position Limits Should be Delta-Based; Ritchie and Ginter; Futures; Aug. 1988
	AO	Default Risk and Innovation in the Design of Interest Rate Swaps; Brown and Smith; Financial Management; Summer 1993
	AP	The Relationship Between Option Trading Intensity and the Market Microstructure of the Underlying Security; Mayhew, Sarin, and Shastri; Leavay School of Business; March 1996

EXAMINER

/Kellie Campbell/

DATE CONSIDERED

12/21/2008

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /K.C./